

**A**Administrative  
**S**ervices  
**L**etter

**06-01**  
**Records Management  
Program**



Paperwork  
Management ASLs

Signed By	/s/ Marie LaVergne, Chief Administrative Services Division	Number	06-01
Distribution	Executive Staff & Division RMCs	Date Issued	May 1, 2006
Subject	Records Management Program	Expires	When Canceled
Guide Section	Paperwork ASLs	Reference	Cancels ASL 98-08

The State Administrative Manual (SAM) Section 1672 requires State agencies to revise their Records Retention Schedules every five years or when changes occur. Records Retention Schedules determine the status and future of every file and record originating within ARB; they are the key to ARB's records management program, ensuring that:

- active records are maintained properly within the organization,
- semi-active and/or inactive records are transferred to the State Records Center or an appropriate storage site, and
- records no longer needed are appropriately scheduled for disposal.

The attached policy and procedures describes the ARB Records Management Program and defines the roles and responsibilities of the ARB Records Management Coordinator (RMC) and ARB Division RMCs. The policy and procedures also list the various supplemental records management program guidelines, fact sheets and handbooks that are available to assist with implementing the program.

It is important to note that the California Records and Information Management Program (CalRIM) at the Department of General Services (DGS) implements the State of California Records Management Program and approves the Record Retention Schedules. CalRIM will not allow records to be sent for storage without timely updates to the schedule, nor will filing and storage equipment requisitions be approved by ARB Administrative Services Division (ASD), unless there is an approved Records Retention Schedule in place.

It is essential that schedules are current and that appropriate procedures are followed; the Audit Section of DGS conducts periodic audits of state agencies' records management practices. If you have any questions regarding this policy and procedures, please contact the ARB RMC at (916) 322-0473.

---

## ARB RECORDS MANAGEMENT PROGRAM POLICY AND PROCEDURES

---

- [Organization](#)
- [Terms and Definitions](#)
- [Records Retention Schedules](#)
- [Disposal of Records](#)
- [Disposal of Confidential Records](#)
- [Available Records Management Guidance and Assistance](#)

The State of California Records Management Program (RMP) was established to apply efficient and economical methods to create, use, maintain, retain, preserve and dispose of state records, including those on electronic media. The State Administrative Manual (SAM) Section 1600 describes the program objectives, agency responsibilities and statutory requirements of the State Records Management Act contained in Government Code Sections 14740-14774. Other useful information can be found in supplemental state records management handbooks, guidelines and fact sheets.

The Director of the Department of General Services, charged with statewide implementation, has assigned the development, implementation and maintenance of the States RMP to the California Records and Information Management Program (CalRIM). The program covers the complete life cycle of the recording of state business.

Accordingly, Government Code 14750 requires the head of each state agency to appoint a records management coordinator to provide the necessary assistance to establish and maintain an active, continuing program for the economical and efficient management of the records and information practices of the agency.

Although not all-inclusive, some of the more pertinent agency responsibilities are:

1. Send the Biennial Progress Report on Records Management to CalRIM.
2. Dispose of or recycle obsolete records in accordance with approved and current Records Retention Schedules.
3. Transfer the custody of records appropriately when a program or function is discontinued.

### **Organization**

The ARB Administrative Services Division (ASD) has overall functional responsibility for matters relating to the records management within ARB and is responsible for keeping and maintaining an economical and efficient records management program. A staff

member from ASD is designated as the ARB Records Management Coordinator (RMC) and has the responsibility to implement the ARB program.

Each division chief has the delegated responsibility for the RMP within his/her respective division and will appoint a Division RMC to interact with the ARB RMC. The name of the Division RMC is to be submitted to the Chief, Administrative Services Division. It is also advised that each branch/section within the division have a person trained to assist the Division RMC.

The Division RMC will have the responsibility to:

- Be familiar with the operations of the division; and know all the places where records are stored.
- Establish a records retention program, by conducting an inventory and appraisal of the division's records, identifying retention dates, and developing a records retention schedule. Ensure that the division's records retention schedule is kept up-to-date. SAM Section 1671 requires records retention schedules to be revised every five years or sooner to reflect changes. See SAM Sections 1665 through 1672.
- Organize the records, and follow the established procedures, to transfer semi-active records to the State Records Center or an appropriate storage site. Generally, records should be transferred to storage or disposed of once a year. Deviations from an annual timetable may be justified if records accumulate so rapidly that more frequent disposition is necessary.
- Follow the appropriate procedure for confidential disposal of confidential records. See SAM Section 1693.
- Submit all requests for filing space and equipment, including paper shredders, to the ARB RMC. Requests must include adequate justification and description of the equipment needed.

Managers and supervisors are required to ensure that all confidential records are maintained and/or stored in a secured area, either in a locked desk drawer, filing cabinet or room. Division and branch personnel records that may contain an employee's name, social security number, address and/or phone number are considered confidential and must be maintained accordingly.

Records retention periods for division files may be defined in federal and/or state regulations that govern ARB's programs or, if not clearly defined, the retention periods will be determined at the discretion of the appropriate Division Chief.

### **Terms and Definitions**

**Records:** Records are any documents produced, received, owned, or used by ARB, regardless of physical form or characteristics. Library and museum materials kept solely for reference or exhibition are not defined as records. Supplies of publications and printed blank forms are also not defined as records.

**Active records:** A record needed to be readily available for daily, weekly, monthly, semi-annual, or annual activity or process of an organization not yet complete. Active records are usually those records referred to more than once per month.

**Current records:** A record that is in force or has some effect even though there is no activity or ongoing process directly related to it. Policies, procedures, standards, guidelines and organizational charts (the record copy or original with the background material) would be "current" until revised, superseded or rescinded.

**Semi-active/Inactive records:** Those records needed so seldom to conduct current business or are no longer needed to conduct business. Semi-active/inactive records are usually those records referred to no more than once per month and should be moved to a departmental records facility or to the State Records Center.

**Electronic records:** Those records in a form that only a computer can process. Databases and other data compilations that are used for multiple purposes are records. Computer back-up tapes and other duplicate computer files are nonrecords. Electronic mail, voice mail, word processing files and superseded printed drafts are nonrecords. The final printed outputs are records. When computer information is characterized as a record material, it must be retained according to ARB's records retention schedule.

**Vital (Essential) records:** Those records needed to perform an agency's mission or to reconstruct basic agency programs during and after a major disaster. See Governor's Disaster Plan.

**Permanent records:** Those of archival, legal, or administrative value, which will be safely kept for at least 100 years.

**Archival records:** Those records of historical value kept permanently for reference and research.

**Nonrecords:** Includes requests for printed material after the requests have been filled, transmittal letters and acknowledgments which do not contribute any information to the material transmitted, shorthand notes and dictating media which have been transcribed and miscellaneous notices of agency affairs, meetings, holidays and the like. Other nonrecords are informal notes, worksheets and rough drafts of letters, memoranda and reports that do not represent basic steps in the preparation of documents. Note that library and reference materials, supplies of publications and printed blank forms are also not defined as records.

**Records Retention Schedule:** A document governing, on a continuing basis, the mandatory disposition of recurring records series of an organization or agency.

**State Records Center (SRC):** A facility in West Sacramento especially designed and constructed for the low-cost and efficient storage and furnishing of reference service on semi-active records pending their ultimate disposition. The Document Destruction and Recycling Center is located at the SRC.

**Archives:** (1) Inactive records preserved because of their historical value; (2) The agency responsible for selecting, preserving, and making available archival materials; (3) The building or a part of a building where such material are located. The California State Archives and Museum, Secretary of State, is located at 1020 N Street.

### **Records Retention Schedules**

ARB will make every effort to run a cost effective and efficient records management program by ensuring that the records retention schedules are up-to-date.

Up-to-date records retention schedules:

- Provide the legal bases for ARB to keep, transfer and dispose of records.
- Enable the California State Archives and Museum, Secretary of State, to identify historically significant records.
- Plan for the State Records Center use, microfilming activities, and vital records protection.
- Describe the mission of the Board and its divisions, and identify the records created to conduct its mission.

### **Disposal of Records**

SAM Section 1602 refers to Government Code 14755(a) which requires that no record shall be destroyed or otherwise disposed of by any agency of the state, unless it is determined by the Director of DGS that the record has no further administrative, legal, or fiscal value and the Secretary of State has determined that the record is inappropriate for the preservation in the California State Archives and Museum, Secretary of State. This is accomplished through the records retention schedule process.

Government Code 14755(b) requires the Director of DGS shall not authorize the destruction of any record subject to audit until the Director has determined that the audit has been performed.

### **Disposal of Confidential Records**

In Sacramento, Document Destruction and Recycling Center staff at the State Records Center will be used to witness the disposal of confidential records. Arrangements must be made with the Document Destruction and Recycling Center to ensure witnessing by appropriate agency personnel.

In El Monte, the Division RMC must send a State employee to witness confidential disposal when using the services of private contractors.

### **Available Records Management Guidance and Assistance**

DGS has written helpful records management program guidelines, fact sheets and handbooks to assist agencies in the administering of their program. They are available from the ARB RMC in ASD.

There is also a complete Records Management Reference Binder maintained by the ARB RMC.

[Back to Top](#)